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PATENT APPLICATION  
Docket No: 15436.161.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )  
Lewis B. Aronson et al. )  
Serial No.: 10/661,941 ) Art Unit  
Filed: September 12, 2003 ) 2133  
Confirmation No.: 8378 )  
For: TRANSCEIVER MODULE CAGE FOR USE )  
WITH MODULES OF VARYING WIDTHS )

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that the following documents are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450, on the 1<sup>st</sup> day of October 2004.

- Transmittal for Information Disclosure Statement (3 pages)
- Information Disclosure Statement (2 pages)
- Form PTO-1449 listing 67 references (2 pages)
- A copy of each non-US references listed on the Form PTO-1449
- Postcard

Respectfully submitted,

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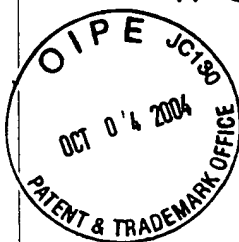


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Serial No.:	10/661,941	) Art Unit
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For:	TRANSCEIVER MODULE CAGE FOR USE WITH MODULES OF VARYING WIDTHS	)

### TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

- ☒ Statement of relevance of selected cited references not in the English language which are not translated.
- ☐ Statement that selected cited references are substantially cumulative of an enclosed or previously submitted reference.
- ☐ Statement that selected cited references were previously cited by or submitted to the United States Patent and Trademark Office in a prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

- ☒ Form PTO-1449 listing 67 references submitted for consideration.
- ☒ A copy of each non-US reference listed on the Form PTO-1449.
- ☐ English translations of \_\_\_ (\_\_\_) of the references listed on the Form PTO-1449 which are not in the English language.
- ☐ Copies of the following documents from the prosecution of a previous, related application:
  - ☐ Form PTO-1449 AND INFORMATION DISCLOSURE STATEMENT;  
and
  - ☐ Form PTO-892

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

The transmitted Information Disclosure Statement is being filed within one (1) of the following four (4) time periods:

- I. ☒ Prior to the later of either three (3) months following the filing date or the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.
- II. ☐ Following the latter of either three (3) months following the filing date or the mailing of a first Office Action, but before the mailing of a final Office Action or a Notice of Allowance. Accordingly, to secure consideration thereof, one (1) of the following is also enclosed:
  - ☐ Promptness Certification; or
  - ☐ Check No. \_\_\_\_\_ in the amount of \$\_\_\_ constituting the submission fee set forth in 37 C.F.R. § 1.17(p).
- III. ☐ After the mailing of a Notice of Allowance, but before payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
  - ☐ Promptness Certificate;
  - ☐ Petition for Consideration; and

- \_\_\_\_\_ Check No. in the amount of \$ \_\_\_\_\_ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).
- IV. \_\_\_\_\_ After payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
- \_\_\_\_\_ Petition to Withdraw from Issue; and
- \_\_\_\_\_ Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

C. Fees

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

- X Any fee required in relation to filing of this letter or any documents transmitted therewith.
- \_\_\_\_\_ The submission fee set forth in 37 C.F.R. § 1.17(p) in the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).
- \_\_\_\_\_ The submission fee set forth in 37 C.F.R. § 1.17(p).
- \_\_\_\_\_ The petition fee set forth in 37 C.F.R. § 1.17(i)(1).

Dated this 1<sup>st</sup> day of October 2004.

Respectfully submitted,



CARL T. REED  
Attorney for Applicant  
Registration No. 45,454  
Customer No. 022913  
Telephone No. 801.533.9800



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INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed listed references are disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof that is not a US patent document is also enclosed.

Statement of Relevance of References Listed  
Unaccompanied by English Translation  
Under 37 CFR § 1.98(a)(3)

In accordance with 37 CFR § 1.98(a)(3), the following concise explanation of the relevance of each listed reference that is not in the English language and unaccompanied by a translation into English is provided.

German Application No. DE 200 05 316 U1: A motor-integrated tap unit includes a motor which as a plug housing and a load- or consumer-branch releasably, electrically and mechanically connected to the plug housing. The load branch is retained by a long connection-element between the plug housing and the load branch in the user-position of the motor-integrated tap unit, and extending mainly transversely to the force of gravity of the load branch. The connection element retains the load branch supportingly at the point which lies on the other side of the center of gravity of the load-branch. Electrical and mechanical connection between plug housing and load branch is minimally affected by motor vibration and shaking etc.

Japanese Application No. 4-165312: To mount an arbitrary kind of a photo input output element according to application by providing a receptacle having a sleeve to orderly arrange ferrules and the photo input output element and a housing having an engaging part, an opening part, and a resilient piece. A photo input output element holding part 5 is arranged on the side, opposite to the insertion side of a ferrule, of a sleeve to orderly align ferrule used for positioning of an optical fiber. A photo input output element to which a lens is fixed is arranged in the photo input output element holding part 5. The photo input output element holding part 5 is connected to the sleeve through a flange to form a receptacle. The receptacle is fixed to a housing and resilient pieces to lock a photo connector plug are arranged in two spots of upper and lower spots of the sleeve of the receptacle. An opening art in which the photo connector plug is inserted is formed in the tip of the resilient piece. This constitution mounts an arbitrary kind of the photo input output elements, responding to application, in a photo module.

Dated this 1<sup>st</sup> day of October 2004.

Respectfully submitted,



CARL T. REED  
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Applicant: Lewis B. Aronson et al.

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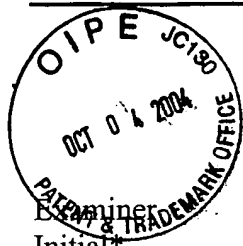
Serial No.: 10/661,941

Att'y Docket No.: 15436.161.1

Filing Date: September 12, 2003

Group: 2133

For: TRANSCEIVER MODULE CAGE FOR USE WITH MODULES OF VARYING WIDTHS

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
_____ 1	4083619	04/11/1978	McCormick et al.
_____ 2	4387956	06/14/1983	Cline
_____ 3	4678264	07/07/1987	Bowen et al.
_____ 4	4798430	01/17/1989	Johnson et al.
_____ 5	4993803	02/19/1991	Saverison et al.
_____ 6	5039194	08/13/1991	Block et al.
_____ 7	5069522	12/03/1991	Block et al.
_____ 8	5071219	12/10/1991	Yurtin et al.
_____ 9	5195897	03/23/1993	Kent et al.
_____ 10	5202943	04/13/1993	Carden et al.
_____ 11	5256080	10/26/1993	Bright
_____ 12	5329428	07/12/1994	Block et al.
_____ 13	5416871	05/16/1995	Takahashi et al.
_____ 14	5487678	01/30/1996	Tsuji et al.
_____ 15	5528408	06/18/1996	McGinley et al.
_____ 16	5546281	08/13/1996	Poplawski et al.
_____ 17	5561727	10/01/1996	Akita et al.
_____ 18	5596665	01/21/1997	Kurashima et al.
_____ 19	5734558	03/31/1998	Poplawski et al.
_____ 20	5767999	06/16/1998	Kayner
_____ 21	5820398	10/13/1998	Stabroth et al.
_____ 22	5879173	03/09/1999	Poplawski et al.
_____ 23	5901263	05/04/1999	Gaio et al.

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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24	5931290	08/03/1999	Wehrli, III et al.
25	5947435	09/07/1999	Small
26	5980324	11/09/1999	Berg et al.
27	6050658	04/18/2000	O'Sullivan et al.
28	6069991	05/30/2000	Hibbs-Brenner et al.
29	6074228	06/13/2000	Berg et al.
30	6081431	06/27/2000	Lemke
31	6088498	07/11/2000	Hibbs-Brenner et al.
32	6142802	11/07/2000	Bert et al.
33	6142828	11/07/2000	Pepe
34	6149465	11/21/2000	Berg et al.
35	6169295 B1	01/02/2001	Koo
36	6229708 B1	05/08/2001	Corbin, Jr. et al.
37	6231145 B1	05/15/2001	Lin
38	6259769 B1	07/10/2001	Page et al.
39	6130053 B1	08/06/2002	Peterson et al.
40	6434015 B1	08/13/2002	Hwang
41	6139918 B1	08/27/2002	Togami et al.
42	6494623 B1	12/17/2002	Ahrens et al.
43	6517382 B2	02/11/2003	Flickinger et al.
44	6524134 B2	02/25/2003	Flickinger et al.
45	6532155 B2	03/11/2003	Green et al.
46	6533603 B1	03/18/2003	Togami
47	6538882 B2	03/25/2003	Branch et al.
48	6544055 B1	04/08/2003	Branch et al.
49	6554622 B1	04/29/2003	Engel et al.
50	6556445 B2	04/29/2003	Medina
51	6570768 B2	05/27/2003	Medina

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_____ 52	2002/0142649 A1	10/03/2002	Baugh et al.
_____ 53	2002/0150343 A1	10/17/2002	Chiu et al.
_____ 54	2003/0020986 A1	01/30/2003	Pang et al.
_____ 55	2003/0044129 A1	03/06/2003	Ahrens et al.
_____ 56	2003/0059167 A1	03/27/2003	Chiu et al.
_____ 57	2003/0100204 A1	05/29/2003	Hwang

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publication Date</u>	<u>Country or Patent Office</u>	<u>Translation</u>
_____ 58	0 442 608 A2	08/21/1991	EPO	N/A
_____ 59	0 456 298 A1	11/13/1991	EPO	N/A
_____ 60	2 297 007 A	07/17/1996	Great Britain	N/A
_____ 61	200 05 316 U1	09/07/2000	Germany	No
_____ 62	4-165312	06/11/1992	Japan	No

Other Documents

(including author, title, pertinent pages, etc.)

Examiner  
Initial\*

_____ 63	<i>Fiber Optic Module Interface Attachment</i> , Research Disclosure, Kenneth Mason Publications Ltd., England, No. 330, October 1991.
_____ 64	T.R. Block et al., <i>Field Replaceable Optical Link Card</i> , IBM Technical Disclosure Bulletin, Vol. 37, No. 02B, February 1994.
_____ 65	Ronald L. Soderstrom et al., <i>CD Laser Optical Data Links for Workstations and Midrange Computers</i> , 43 <sup>rd</sup> Electronic Components and Technology Conference 1993 Proceedings, pp. 505-509, June 1993.
_____ 66	Agilent Technologies, et al., <i>Small Form-factor Pluggable (SFP) Transceiver MultiSource Agreement (MSA), Cooperation Agreement for Small Form-Factor Pluggable Transceivers</i> , pp. 1-38, September 14, 2000.

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\_\_\_\_ 67 Ali Ghiasi, *XFP (10 Gigabit Small Form Factor Pluggable Module)*, Revision 0.92, July 19, 2002.

### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner:

Date Considered:

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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